

QUESTIONS AND ANSWERS

PLEASE REFER TO THE GENERAL FAQs SECTION OF ARPA-E'S WEBSITE ([HTTP://ARPA-E.ENERGY.GOV/?Q=FAQ/GENERAL-QUESTIONS](http://arpa-e.energy.gov/?q=faq/general-questions)) FOR ANSWERS TO MANY GENERAL QUESTIONS ABOUT ARPA-E AND ARPA-E'S FUNDING OPPORTUNITY ANNOUNCEMENTS. ADDITIONAL QUESTIONS SPECIFIC TO THIS FOA ONLY ARE INCLUDED BELOW. PLEASE REVIEW ALL EXISTING GENERAL FAQs AND FOA-SPECIFIC QUESTIONS BEFORE SUBMITTING NEW QUESTIONS TO ARPA-E.

I. Full Application Questions:

Q1. I ASK A COUPLE OF QUICK QUESTION:

1. IS NECESSARY TO PRESENT A LETTER OF INTEND TO PARTICIPATE IN THIS PROCESS? I READ THAT THERE IS NOT NECESSARY TO PRESENT A CONCEPT PAPER, BUT NOT SURE ABOUT THE LOI.
2. CAN WE SUBMIT A FULL APPLICATION WITHOUT HAVING PREVIOUSLY SENT ANY OTHER DOCUMENTATION, OR BEEN PREVIOUSLY AUTHORIZED, OR PRESELECTED TO DO IT?
3. IS THE TOPIC C "CREATING REVOLUTIONARY ENERGY AND TECHNOLOGY ENDEAVORS" OPEN TO ANY ENERGY TOPIC, INCLUDING TRANSPORTATION OR VEHICLES TECHNOLOGIES?
4. IS THERE ANY DIFFERENCE REGARDING THE AWARDED FUNDS AND EXECUTION TIME BETWEEN THE STANDARD FOA AND THE SBIR/STIR FOA?
5. I READ THAT SMALL BUSINESSES CAN APPLY TO ANY OF THE FOA FORMS (STANDARD OR SBIR/STIR), PLEASE CONFIRM.

ANSWER: 1. No.

2. Yes.

3. See Section II. Appendix B: Creating Revolutionary Energy And Technology Endeavors, 2. Areas of Interest of the FOA.

4. Yes, they are each their own individual FOAs with their own terms.

5. That is correct.

Q2. I AM PREPARING AN APPLICATION FOR DE-FOA-0002785 TOPIC C: CREATE. I NOTICED THAT THIS TOPIC USES A DIFFERENT SF-424A FORM THAN THE OTHER TOPICS IN THIS FOA, SPECIFICALLY THE FILE TITLED, "TOPIC C: SF-424A (FIXED AMOUNT GRANT." THIS BUDGET WORKBOOK IS MUCH SIMPLER THAN THE BUDGET WORKBOOK FOR THE OTHER TOPICS IN THAT IT DOES NOT SPECIFICALLY BREAK DOWN PERSONNEL COSTS, THEIR RATES, THEIR HOURS WORKED, ETC. IT ALSO DOES NOT SEEM TO HAVE A SPACE FOR THE SUBAWARD BUDGET.

SHOULD THE RESEARCH INSTITUTION I WILL BE PARTNERING WITH FILL OUT AND SUBMIT ONE OF THESE FORMS AS WELL? AM I CORRECT IN THAT THERE IS NOT A PLACE TO BREAK DOWN SOME OF THE COSTS IN THE WAY THAT I DESCRIBED IN THE PREVIOUS PARAGRAPH? JUST WANT TO MAKE SURE I AM PROVIDING ADEQUATE INFORMATION TO THE AGENCY FOR A FULL APPLICATION.

ANSWER: One form should be filled out per applicant. Yes, you are correct that the workbook for this FOA is simpler than that required for most other topics; a fixed-amount grant requires less cost/price data than a cooperative agreement with cost share requirements would.

Q3. NICE TO CONNECT, I AM PART OF A TEAM PURSUING THE RECENTLY RELEASED ARPA-E EXPLORATORY TOPICS SBIR/STTR FUNDING OPPORTUNITY (DE-FOA-0002785) AND WOULD APPRECIATE CLARIFICATION REGARDING THE AWARD AMOUNT FOR TOPIC III: CREATING REVOLUTIONARY ENERGY AND TECHNOLOGY ENDEAVORS.

IT STATES IN SECTION II.A OF THE FOA THAT APPLICANTS MUST APPLY FOR A COMBINED PHASE I/II/IIS AWARD (UNLESS THE APPLICABLE TOPIC APPENDIX STATES OTHERWISE).

IN TOPIC III'S APPENDIX, IT'S SIMPLY STATED THAT AWARDS MAY VARY BETWEEN APPROXIMATELY \$200,000 AND \$500,000 AND ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE. DOES THIS MEAN THAT OUR SMALL BUSINESS CAN PROPOSE EITHER A PHASE I PROJECT OR COMBINED PHASE I/II PROJECT? FURTHERMORE, IS THE \$200,000 - \$500,000 RANGE SPECIFICALLY FOR ONE PHASE OF THE EFFORT OR IS APPLIED TO THE COMBINED TOTAL

ANSWER: Applicants must apply for a combined phase I/II/IIS award for CREATE. The \$200,000 - \$500,000 range is an estimate applied to the combined total.

Q4. I HAVE ADDITIONAL QUESTIONS: (CONTINUED FROM Q1 ABOVE):

6. CAN INTELLECTUAL PROPERTY BE INCLUDED IN THE TECHNICAL VOLUME, SO IT WILL BE NOT SHARED OUT OF ARPA?
7. I UNDERSTAND THAT THE TECHNICAL VOLUME FOR THE TOPIC C IS DIFFERENT THAT THE VOLUMES FOR THE OTHER TOPICS, PLEASE CONFIRM.
8. IS THE FORM FOR BUDGET (SF-424A) FOR THE TOPIC C (TOPIC_C_SF-424A_(FIXED-AMOUNT-GRANT)), DIFFERENT THAN THE OTHER TOPICS (ARPA-E_115_BUDGET_JUSTIFICATION_WORKBOOK_SBIR_STTR_SF-424A_8.18). CAN YOU PLEASE HELP TO CLARIFY?
9. I UNDERSTAND THAT THE REQUESTED TOTAL PROJECT COST, IS \$500,000, IS THIS TOTAL COST INDEPENDENT OF THE NUMBER OF PHASES THE PROJECT MAY TAKES IN THE FUTURE, AFTER PHASE 1?
10. CAN SOMEBODY THAT RESULTED AWARDED FROM THE SBIR/STIR FOA BE RENEWED BY ADDING ONE OR MORE BUDGET PERIODS EXTENDING THE PERIOD OF PERFORMANCE OF THE INITIAL AWARD? IT LOOKS LIKE THIS MAY BE APPLICABLE FOR THE STANDARD FOA, BUT IS IT FOR THE SBIR/STIR APPLICATION?

ANSWER: 6. IP must be included in accordance with the FOA instructions.

7. Yes.

8. The SF-424A budget form for CREATE is for fixed amount grants, which differs from the cost-reimbursable cooperative agreement budget form utilized for some other ARPA-E FOA's.

9. ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between approximately \$200,000 and \$500,000 for the total project period of performance.

10. Awards are issued as Phase I or Phase I/II grants, with a go/no-go milestone after Phase I, as applicable.

Q5. THE PAGE LIMIT OF THE TECHNICAL VOLUME IN THE FOA IS 15 PAGES, BUT IN THE PROVIDED TEMPLATE IT READS 8 PAGES. WHICH ONE IS CORRECT?

ANSWER: Appendix C Section 4 states: "Notwithstanding the instructions at FOA Section IV.C, "Topic C: Technical Volume (Cost-Reimbursable Grant)" is replacing the "Technical Volume Template" and "Topic C: SF-424A (Cost-Reimbursable Grant)" is replacing the "Budget Justification Workbook/SF-424A" provided."

A note is also included in the table of this section: "Note – Section and page maximums for this Topic's Technical Volume differ from the standard Technical Volume Template under this FOA."

The Technical Volume for C. CREATE is 8 pages for Sections 1-5.

Q6. IN THE TECHNICAL VOLUME TEMPLATE IT IS INDICATED IN THE "INSTRUCTIONS FOR COVER PAGE AND EXECUTIVE SUMMARY SECTION" THAT "(5) THE EXECUTIVE SUMMARY SHALL NOT EXCEED 1 PAGE IN LENGTH", AND ALSO "(6) THE EXECUTIVE SUMMARY MAY CONTAIN GRAPHICS, FIGURES, OR TABLES AS NEEDED TO SUMMARIZE THE TECHNICAL CONCEPT. ONE REPRESENTATIVE FIGURE IS REQUIRED, ILLUSTRATING THE PROPOSED TECHNOLOGY AND HIGHLIGHTING AREAS OF INNOVATION. "

NOW THERE IS NOT EXPLICITLY INDICATED THAT THE COVER PAGE AND THE EXECUTIVE SUMMARY MUST BE IN TWO SEPARATED PAGES, IN FACT THE INSTRUCTIONS SEEN TO INDICATE THAT BOTH ARE IN THE SAME PAGE. COULD YOU PLEASE HELP TO CLARIFY IF THE COVER PAGE AND THE EXECUTIVE SUMMARY MUST BE ON THE SAME PAGE, OR IF THEY CAN BE ON SEPARATED PAGES?

ANSWER: They can be separate pages.

Q7. PLEASE CONFIRM WHETHER TOPIC C REQUIRES COST SHARE.

ANSWER: Cost share is not required for this FOA.

Q8. 1. UNDER THIS TOPIC, IF AN APPLICATION WAS MADE FOR ONLY A PHASE I, AND WAS AWARDED, WILL THERE BE AN OPPORTUNITY TO SUBMIT AN APPLICATION FOR A PHASE II AT A LATER DATE, ASSUMING ALL PHASE I MILESTONES HAVE BEEN MET?

ANSWER: Applicants must apply for a Combined Phase I/II/IIS Award for CREATE.

2. SECTION B -RENEWAL AWARDS, INDICATES THE PERIOD OF PERFORMANCE CAN BE EXTENDED FOR THE INITIAL AWARD, OR A NEW AWARD CAN BE ADDED, BUT THERE IS NO CLARIFICATION OF WHAT THIS MEANS - IS A NEW AWARD A PHASE II?

ANSWER: Phase II is different from a renewal or new award.

3. IF SUBMITTING A COMBINED PHASE I/II APPLICATION UNDER THIS TOPIC, DOES THIS REMAIN A FIXED-AMOUNT AWARD FOR BOTH PHASES WITH A TOTAL OVERALL BUDGET OF \$500K? OR CAN EACH PHASE HAVE A MAXIMUM BUDGET OF \$500K?

ANSWER: \$200k - \$500k is the range for the total overall budget of all phases.

Q10. CAN A FEE BE CHARGED ON SUBCONTRACTOR COSTS? IF SO, ARE THERE GUIDELINES ON WHAT FEE AMOUNT WOULD BE ACCEPTABLE?

ANSWER: See FOA Section VIII.L.



Q11. IS LI-S BATTERY TECHNOLOGY AND RAW MATERIAL RESEARCH ACCEPTABLE UNDER THE CREATE PROGRAM?

ANSWER: ARPA-E will not pre-assess an applicant's technical proposal.

Q12. SORRY, IF ONE IS APPLYING FOR A PHASE 1 CREATE GRANT UNDER DE-FOA-0002785, WHAT IS THE MAXIMUM PERIOD OF FUNDING AND WHAT IS THE MAXIMUM AMOUNT OF THAT PHASE 1 FUNDING? SECONDLY, ARE WE REQUIRED TO APPLY FOR BOTH A PHASE 1 AND A PHASE 2 GRANT AT THE SAME TIME? THIRD, WHAT IS THE MAXIMUM AMOUNT OF FUNDING FOR A PHASE 2 GRANT?

IT IS FURTHER CONFUSING BECAUSE ON PAGE 12 YOU STATE:

“ARPA-E RESERVES THE RIGHT TO SELECT ALL OR PART OF A PROPOSED PROJECT (I.E. ONLY PHASE I, OR ONLY PHASE I AND PHASE II). IN THE EVENT THAT ARPA-E SELECTS PHASE I ONLY OR PHASE I/II ONLY, THEN THE MAXIMUM AWARD AMOUNT FOR A PHASE I AWARD IS \$295,924 AND THE MAXIMUM AMOUNT FOR A PHASE I/II AWARD IS \$2,268,752.”

WHEREAS WITH THE APPENDIX TO CREATE YOU STATE:

“ARPA-E MAY ISSUE ONE, MULTIPLE, OR NO AWARDS UNDER THIS FOA. AWARDS MAY VARY BETWEEN APPROXIMATELY \$200,000 AND \$500,000. AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE.”

ANSWER: Applicants must apply for a Combined Phase I/II/IS Award for CREATE. \$200k - \$500k is the range for the total overall budget of all phases.

Q13. FOR DE-FOA-0002785, CAN A SMALL BUSINESS APPLY FOR PHASE I ONLY PROJECT OR PHASE I/II COMBINED PROJECT? WHAT'S THE MAXIMUM AMOUNT OF FUNDING FOR THESE TWO SCENARIOS RESPECTIVELY?

ANSWER: See answer to Q12.

Q14. I AM PREPARING AN APPLICATION FOR DE-FOA-0002785 TOPIC C: CREATE. IN THE TECHNICAL VOLUME TEMPLATE, WE ARE ASKED TO SUBMIT PERSONAL QUALIFICATION SUMMARIES (PQS) FOR EACH KEY PERSONNEL ON OUR TEAM. IN THE SAME SECTION, THE TEMPLATE ALSO ENCOURAGES APPLICANTS TO INCLUDE A FINANCE/BUDGET PROFESSIONAL WITH AN UNDERSTANDING OF COST ACCOUNTING TO COMPLY WITH REGULATORY REQUIREMENTS. HOWEVER, THE PQS SEEMS TO BE CENTERED ON THOSE WITH TECHNICAL QUALIFICATIONS, ASKING FOR PEER-REVIEWED PUBLICATIONS, EDUCATION, ETC. DO YOU HAVE AN EXAMPLE OF A PQS THAT COULD BE SUBMITTED FOR A FINANCE PROFESSIONAL WHO MAY NOT HAVE PEER-REVIEWED PUBLICATIONS? IS THERE A LIST OF INFORMATION WE SHOULD INCLUDE IN THIS PERSON'S PQS?

ANSWER: A finance/budget person would not be key personnel for the technical team.

Q15. THE FINANCIAL ALLOWANCE FOR THIS TOPIC IS UNCLEAR TO OUR TEAM. REFERRING TO THE DOCUMENT "DE-FOA-0002785_SBIR-STTR_-TOPIC_C_-_CREATE__FINAL", PLEASE COMPARE DOCUMENT PAGE 9 (PDF PAGE 12) "AWARD INFORMATION" & PAGES 70-21 (PDF PAGES 73-74) "SPECIAL PROGRAM ANNOUNCEMENT FOR...CREATE". THE SPECIAL ANNOUNCEMENT IN THE LATTER PAGES LIST \$500,000 MAX AWARD WHEREAS THE EARLIER PAGES LIST A PHASE I MAXIMUM AWARD OF \$295,924 AND A PHASE I/II MAXIMUM AWARD OF \$2,268,752. I BELIEVE THAT TOPIC MAY HAVE A MAXIMUM AWARD OF \$500K ACROSS BOTH PHASES I & II FOR 24 MONTHS MAX., BUT THAT IS UNCLEAR MOSTLY DUE TO HOW YOU DO NOT DEFINE THE PHASES IN THE LATER PAGES. ANOTHER WAY TO INTERPRET THIS DOCUMENT IS THAT YOU PROVIDE \$500K FOR PHASE I (AS LISTED IN THE LATER PAGES AS AN OPTION) FOR LESS THAN 24 MONTHS AND THEN WE CAN STILL, LATER, PROPOSE FOR THE REMAINDER OF THE FUNDS (UP TO \$2,268,752) AND REMAINDER OF TIME UP TO 24 MONTHS IN A PHASE II WITH DETAILS TO BE PROVIDED LATER.

PLEASE CLARIFY TO CONFIRM WE UNDERSTAND THE FISCAL AND TIME LIMITS OF THIS FOA.

ANSWER: \$200k - \$500k is the range for the total overall budget of all phases for CREATE.

Q16. THERE IS MENTION IN THE FOA (PAGE 10/92) THAT...

ALTERNATIVELY, AWARDS MAY SUPPORT PROOF-OF-CONCEPT RESEARCH FOR A PARTICULAR NEW TECHNOLOGY, EITHER IN AN AREA NOT CURRENTLY SUPPORTED BY THE AGENCY OR AS A POTENTIAL ENHANCEMENT TO AN ONGOING FOCUSED TECHNOLOGY PROGRAM

REFERRING TO THE HIGHLIGHT WORDING, ARE WE ALLOWED TO INCLUDE IN THE BUDGET, FUNDS TO BUILD THE PROTOTYPE FOR THE R&D TESTING? IF SO, IS THERE A LIMIT ON THE AMOUNT WE CAN BUDGET FOR?

CAN THE PROOF OF CONCEPT RESEARCH INCLUDE BUDGETING FOR TRAVEL, ACCOMMODATION, HIRE OF RENTAL CAR, HIRE OF TEMP OFFICE ETC FOR OUR TEAM TO CONDUCT CUSTOMER DISCOVERY INTERVIEWS, FOCUS GROUPS, SURVEYS ETC? IF SO, IS THERE A LIMIT ON THE AMOUNT WE CAN BUDGET FOR EACH ITEM?

ADDITIONAL QUESTION:

SECTION II. AWARD INFORMATION OF THE FOA

A. AWARD OVERVIEW

APPLICANTS MUST APPLY FOR A COMBINED PHASE I/II/IIS AWARD (UNLESS THE APPLICABLE TOPIC APPENDIX STATES OTHERWISE).

ARPA-E RESERVES THE RIGHT TO SELECT ALL OR PART OF A PROPOSED PROJECT (I.E. ONLY PHASE I, OR ONLY PHASE I AND PHASE II). IN THE EVENT THAT ARPA-E SELECTS PHASE I ONLY OR PHASE I/II ONLY, THEN THE MAXIMUM AWARD AMOUNT FOR A PHASE I AWARD IS \$295,924 AND THE MAXIMUM AMOUNT FOR A PHASE I/II AWARD IS \$2,268,752.

THE APPLICABLE TOPIC APPENDIX C MENTIONS THAT AWARDS MAY VARY BETWEEN APPROXIMATELY \$200,000 AND \$500,000. AWARDS ARE ISSUED AS PHASE I OR PHASE I/II GRANTS, WITH A GO/NO-GO MILESTONE AFTER PHASE I, AS APPLICABLE.

ANSWER: ARPA-E will not pre-assess an applicant's budget proposal.

Q17. I AM IN PREPARATION TO APPLY TO THE PROGRAM "EXPLORATORY TOPICS (DE-FOA-0002785) SBIR/STTR C: CREATING REVOLUTIONARY ENERGY AND TECHNOLOGY ENDEAVORS" AS A SMALL BUSINESS. THE TEMPLATE SF-424 FILE DOWNLOADED FROM THE ARPAE WEBSITE DOES NOT ALLOW THE SIGNATURE IN THE LAST BOX ON PAGE 3. IS IT OK TO PRINT THE THREE PAGES, MANUALLY SIGN THE LAST PAGE, AND THEN SCAN THE PAGES TO FORM A PDF FILE TO UPLOAD TO THE ARPAE SUBMISSION?

ANSWER: Yes.

Q18. I AM PREPARING AN APPLICATION FOR DE-FOA-0002785 TOPIC C: CREATE. I HAVE A QUESTION ABOUT THE PHASE I/PHASE II VS. PHASE I/PHASE II/PHASE IIS SUBMISSION. THE SOLICITATION SAYS THAT PHASE II AND PHASE IIS OF COMBINED PHASE I/II/IIS AWARDS WILL BE MADE ON A COST-REIMBURSEMENT BASIS.

TO CLARIFY, WILL PHASE II EFFORTS OF PHASE I/PHASE II PROJECTS STILL BE AWARDED AS FIXED AMOUNTS? THANK YOU IN ADVANCE.

ANSWER: ARPA-E may issue one, multiple, or no awards under this FOA. Awards may vary between approximately \$200,000 and \$500,000. Awards are issued as Phase I or Phase I/II grants, with a go/no-go milestone after Phase I, as applicable.

Q19. I AM INTERESTED IN SUBMITTING TO DOE-FOA-0002785 (CREATE TOPIC). I HAVE TWO QUESTIONS:

A. DOES THIS TOPIC WELCOME SUBMISSIONS IN THE AREA OF LITHIUM-SULFUR BATTERIES?

B. SINCE I AM A SMALL BUSINESS, CAN I WAIVE THE COST SHARING OPTION?

ANSWER:

A. ARPA-E will not pre-assess an applicant's technical proposal.

B. There is no cost share for this FOA.